

19/870,379

OIPE
MAR 25 2005
JAN 12 2005
PATENT
TRADEMARK OFFICE

7m
DAC
#

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: U.S. Patent No. 6,777,439 B2
Issued: August 17, 2004
To: Advanced Research & Technology Institute, Inc.
Title: COMPOSITIONS AND METHODS FOR IDENTIFYING AGENTS WHICH
MODULATE PTEN FUNCTION AND PI-3 KINASE PATHWAYS

Certificate of Mailing Under 37 CFR §1.8(a)

I hereby certify that this correspondence is being deposited on March 23, 2005 with the United States Postal Service as first class mail in an envelope addressed to Mail Stop Petition, COMMISSIONER OF PATENTS, P.O. Box 1450, Alexandria, VA 22313-1450.

March 23, 2005
Date of Certificate

Janice M. Nightlinger
Janice M. Nightlinger

Mail Stop PETITION
COMMISSIONER OF PATENTS
P.O. Box 1450
Alexandria, VA 22313-1450.

To the Hon. Commissioner for Patents

PETITION FOR CORRECTION OF ASSIGNEE'S NAME

Patentee hereby petitions to correct the assignee's name on the above identified patent by issuing the attached Certificate of Correction (form PTO 1050). It is respectfully requested under 37 C.F.R. §1.183 that 37 C.F.R. §3.81(a) be waived to permit the correct name of the assignee to be provided after the issuance of the above identified patent.

The failure to include the correct assignee name on the PTOL-85B form was inadvertent. Indeed, at the time the PTOL-85B form was filed on May 14, 2004, the assignee's name was Advanced Research & Technology Institute, Inc. However, over 4 months later on September 29, 2004, the assignee changed its name to Indiana University Research and Technology Corporation, as evidenced by the attached Certificate of Amendment.

A copy of the Notice of Recordation of Assignment Document is also attached. The Notice of Recordation of Assignment Document, which contains the reel and frame number where the assignment is recorded, reflects the original name Advanced Research & Technology Institute, Inc. and its previous address. As stated hereinabove, the correct new name is Indiana University Research and Technology Corporation and the correct new address is 351 West Tenth Street, Indianapolis, IN 46202.

03/28/2005 MAHMED1 00000040 041406 6777439

01 FC:1811 100.00 OP

03/28/2005 MAHMED1 00000040 041406 6777439

02 FC:1462 270.00 DA 130.00 OP

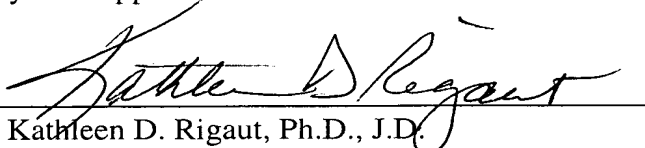
A check in the amount of \$230.00 is enclosed for both the petition fee of \$130.00 (37 C.F.R. §1.17(h) and the Certificate of Correction fee of \$100.00 (37 C.F.R. §1.20). The Commissioner is authorized to charge any underpayment or credit any overpayment to the Deposit Account 04-1406 of the undersigned attorneys. A duplicate copy of this sheet is enclosed.

It is respectfully requested that, if the petition is granted, that the file be forwarded to the Certificates of Correction Branch for issuance of a Certificate of Correction.

Respectfully submitted,

DANN, DORFMAN, HERRELL & SKILLMAN
A Professional Corporation
Attorneys for Applicant

By


Kathleen D. Rigaut, Ph.D., J.D.
PTO Registration No. 43,047

Telephone: (215) 563-4100

Facsimile: (215) 563-4044

Customer No. 000110

UNITED STATES PATENT AND TRADEMARK OFFICE CERTIFICATE OF CORRECTION

PATENT NO. : 6,777,439 B2
DATED : August 17, 2004
INVENTOR(S) : Donald L. Durden

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

(73) Assignee: Indiana University Research
and Technology Corporation,
Indianapolis, IN (US)

MAILING ADDRESS OF SENDER:

Dann Dorfman Herrell and Skillman
1601 Market Street, Suite 2400
Philadelphia, PA 19103-2307

PATENT NO. 6,777,439 B2

No. of additional copies



This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

State of Indiana
Office of the Secretary of State

CERTIFICATE OF AMENDMENT

of

ADVANCED RESEARCH AND TECHNOLOGY INSTITUTE, INC.

I, TODD ROKITA, Secretary of State of Indiana, hereby certify that Articles of Amendment of the above Non-Profit Domestic Corporation have been presented to me at my office, accompanied by the fees prescribed by law and that the documentation presented conforms to law as prescribed by the provisions of the Indiana Nonprofit Corporation Act of 1991.

The name following said transaction will be:

INDIANA UNIVERSITY RESEARCH AND TECHNOLOGY CORPORATION

NOW, THEREFORE, with this document I certify that said transaction will become effective Wednesday, September 29, 2004.



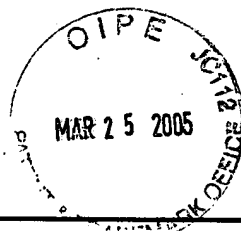
In Witness Whereof, I have caused to be affixed my signature and the seal of the State of Indiana, at the City of Indianapolis, September 29, 2004.

A handwritten signature in cursive script that reads "Todd Rokita".

TODD ROKITA,
SECRETARY OF STATE



UNITED STATES
PATENT AND
TRADEMARK OFFICE



APRIL 19, 2002

PTAS

Chief Information Officer
Washington, DC 20231
www.uspto.gov

DANN, DORFMAN, HERRELL AND SKILLMAN, P.C.
KATHLEEN D. RIGAUT
1601 MARKET STREET, SUITE 720
PHILADELPHIA, PENNSYLVANIA 19103-2307



101993987A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/11/2002

REEL/FRAME: 012600/0625
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

DURDEN, DONALD R.

DOC DATE: 12/18/2001

ASSIGNEE:

ADVANCED RESEARCH & TECHNOLOGY
INSTITUTE, INC.
1100 WATERWAY BOULEVARD
SUITE 100
INDIANAPOLIS, INDIANA 46202-2156

SERIAL NUMBER: 09870379

FILING DATE: 05/30/2001

PATENT NUMBER:

ISSUE DATE:

PEARLENE FOSTER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

02-27-2002

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office



To the Honorable Commissioner of Patents and Trademark

101993987

of.

1. Name of conveying party(ies):

Donald R. Durden

2. Name and address of receiving party(ies):

Name: **Advanced Research & Technology
Institute, Inc.**

Internal Address

Street Address: **1100 Waterway Boulevard,
Suite 100**City: **Indianapolis** State/Country: **IN** ZIP: **46202-2156**Additional name(s) & address(es) attached? ☐ Yes ☒ NoAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Execution Date: **December 18, 2001**

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

B. Patent No.(s)

09/870,379Additional Application/Patent Numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Kathleen D. Rigaut, Ph.D., J.D.**Address: **DANN, DORFMAN, HERRELL AND SKILLMAN, P.C.
1601 Market Street, Suite 720
Philadelphia, Pennsylvania 19103-2307
Telephone: (215) 563-4100 Facsimile: (215) 563-4044**

6. Total number of applications and patents involved:.....

1

7. Total Fee (37 CFR 3.41).....\$ **40.00**

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. In the event the check enclosed is improper, or the fee calculation is in error, the Commissioner is authorized to charge any underpayment or credit any overpayment to the account of the undersigned attorneys.

Deposit Account Number: **04-1406**

02/26/2002 DBYRNE 00000208 09870379

01 FC:581

40.00 OP

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Kathleen D. Rigaut, Ph.D., J.D.

Name of Attorney or Agent

Signature of Attorney or Agent

January 10, 2002

Total number of pages comprising cover sheet: 3 (Includes this sheet in duplicate)

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks
Box Assignments
Washington, DC 20231

O O

ASSIGNMENT

WHEREAS, Donald R. Durden, hereinafter referred to as **ASSIGNOR**, is a named inventor of an invention entitled: **COMPOSITIONS AND METHODS FOR IDENTIFYING AGENTS WHICH MODULATE PTEN FUNCTION AND PI-3 KINASE PATHWAYS**, described and claimed in an application for Letters Patent of the United States, said invention disclosed in United States Serial No. 09/870,379.

WHEREAS, **ADVANCED RESEARCH & TECHNOLOGY INSTITUTE, INC.** (hereinafter referred to as **ASSIGNEE**), an educational institution organized and existing under and by virtue of the laws of the State of Indiana, and engaged in business at 1100 Waterway Boulevard, Suite 100, Indianapolis, Indiana 46202-2156, is desirous of acquiring the said invention and any and all applications for Letters Patent and any and all Letters Patent of the United States and foreign countries which may be issued therefor;

NOW THEREFORE THIS IS TO WITNESS that in consideration of the sum of One Dollar (\$1.00) paid to **ASSIGNOR** by **ASSIGNEE**, the receipt of which is hereby acknowledged, and for other good and valuable consideration, **ASSIGNOR** has sold, assigned and set over and hereby does sell, assign and set over, unto **ASSIGNEE**, its successors and assigns, his or her entire right, title and interest for, to and within the United States and all foreign countries, in and to the aforesaid invention, and in and to any and all Letters Patent which may be issued therefor in the United States and in any and all foreign countries.

And **ASSIGNOR** hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all Letters Patent of the United States to **ASSIGNEE**, its successors and assigns, as the owner of all right, title and interest therein.

And for said consideration, it is hereby covenanted and agreed that at the request and expense of **ASSIGNEE**, its successors and assigns, **ASSIGNOR** will execute any further papers and do such other acts and things as may be necessary and proper to permit **ASSIGNEE**, its successors and assigns, to procure Letters Patent for said invention in the United States and in such foreign countries as **ASSIGNEE**, its successors and assigns may elect, and vest the full title thereto in **ASSIGNEE**, its successors and assigns.

IN WITNESS WHEREOF, this Assignment has been executed on the day and month indicated below.

Date

Signature

12-18-2007.


Donald R. Durden

PATENTS ONLY

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Donald R. DurdenAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: **December 18, 2001**

2. Name and address of receiving party(ies):

Name: **Advanced Research & Technology
Institute, Inc.**

Internal Address _____

Street Address: **1100 Waterway Boulevard,
Suite 100**City: **Indianapolis** State/Country: **IN** ZIP: **46202-2156**Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

B. Patent No.(s)

09/870,379Additional Application/Patent Numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: **Kathleen D. Rigaut, Ph.D., J.D.**Address: **DANN, DORFMAN, HERRELL AND SKILLMAN, P.C.****1601 Market Street, Suite 720****Philadelphia, Pennsylvania 19103-2307**

Telephone: (215) 563-4100 Facsimile: (215) 563-4044

6. Total number of applications and patents involved:.....

17. Total Fee (37 CFR 3.41).....\$ **40.00**

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. In the event the check enclosed is improper, or the fee calculation is in error, the Commissioner is authorized to charge any underpayment or credit any overpayment to the account of the undersigned attorneys.

Deposit Account Number: **04-1406**

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Kathleen D. Rigaut, Ph.D., J.D.

Name of Attorney or Agent


Signature of Attorney or Agent**January 10, 2002**Total number of pages comprising cover sheet: **3** (Includes this sheet in duplicate)

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks
Box Assignments
Washington, DC 20231